Inspections

Inspections

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References

- **Army Regulation 20-1, Inspector General Activities and Procedures**
- **Army Regulation 1-201, Army Inspection Policy**
- **Army Regulation 381-10, U.S. Army Intelligence Activities**
- **The Inspections Guide**
- **The Intelligence Oversight Guide**
- **Student Text 2, Advance Sheets**
- **Student Text 3, Fort Von Steuben / 66th Infantry Division**
- **Inspections Table Group Chart (Hand-out)**

Inspections Training Schedule

Day 2 (Tuesday)

- **0800-1200** **Inspection Principles and Organizational Inspection Program (OIP) / Process**
- **1300-1600** **Inspections Process**

Day 3 (Wednesday)

- **0800-1200** **Inspections Process**
- **1300-1420** **Inspections Process**
- **1430-1500** **DAIG Inspections Division**
- **1510-1540** **Intelligence Oversight**
- **1550-1620** **DAIG Intelligence**

Inspections Training Schedule
(continued)

Day 4 (Thursday)

- **0800-1100 Inspections Process**
- **1200-1300 Interview Practical Exercise**
- **1300-1400 Sensing-Session Practical Exercise**
- **1400-1600 IPR Practical Exercise**

Issue Graded Homework (Practical Exercise 10) (due on Day 6 at 0800)

Day 5 (Friday)

- **0800-0830 Inspections Quiz**
- **0830-0845 Inspections Quiz Review**

Day 12 – 14 (Week 3)

Inspections Extended Practical Exercise

Basic Ground Rules

- **Please ask questions relevant to the topic of Inspections.**
- **Please avoid sidebar discussions during the instruction.**
- **Practical Exercises are individual efforts unless otherwise noted.**
- **<u>We start on time.</u>**

Enabling Learning Objectives (ELOs)

Reference Student Text (ST) 2

Pages 7 through 9

Questions for the Inspections Quiz and the Final Exam will come directly from the ELOs!

The ELOs that you must know about Inspections to pass TIGS

1. Describe the purpose of the Organizational Inspection Program (OIP)

2. Identify the three inspection categories (Command, Staff, and Inspector General (IG)).

3. Describe the IG's role in the OIP.

ELOs (continued)

4. Define the following terms:

- **Inspections**
- **Handoff**
- **In-Process Review (IPR)**
- **Standard**
- **Root Cause**
- **Crosswalk**
- **Initial Command Inspection (ICI)**
- **Subsequent Command Inspection (SCI)**

ELOs (continued)

5. **Describe the three phases of the Inspections Process (Preparation, Execution, Completion).**

6. **Identify the five information gathering domains:**

   - **Interviews**
   - **Sensing Sessions**
   - **Document Review**
   - **Observation**
   - **Surveys / Questionnaires**

ELOs (continued)

7. **Identify who may direct an IG Inspection.**

8. **Describe the Root-Cause Analysis model.**

9. **Identify the five parts of the recommended findings section format.**

   - **Finding Statement**
   - **Standard**
   - **Inspection Results (Discussion)**
   - **Root Cause**
   - **Recommendation (s)**

ELOs (continued)

10. **Identify the battalion as the basic building block of the OIP.**

11. **Apply the three-phase, 17-step Inspections Process.**

12. **Describe the impact of the rules of IG records on IG Inspection Reports.**

13. **Describe the nature of Compressed IG Inspections.**

ELOs (continued)

14. Apply the Root-Cause Analysis Model.

15. Complete the findings section using the appropriate information.

Inspections

Table Group

- **Your table group represents the Fort Von Steuben Inspector General (IG) shop's Inspections Branch for the purposes of all Practical Exercises.**
- **Refer to page 12 of Student Text 3, Fort Von Steuben, for a diagram of the IG office.**
- **Become familiar with Fort Von Steuben and the 66th Infantry Division (Mechanized).**
- **Refer to the Inspections Table Group Chart for Practical-Exercise leadership assignments.**
- **Table Groups leaders must assign a Slotmeister.**

Inspections of the Past

- **Short notice**
- **Forced units to stop training and start preparing**
- **Punitive in nature**
- **Focused more on what was wrong than on what was right**
- **Eliminated commanders from the equation**
- **No one assessed systems and functions**
- **An updated version of Army Regulation 1-201 in the early 1990s changed the Army's inspection approach**

Worked against unit readiness!

ELO

Definition of an Inspection

"An evaluation that measures performance against a standard and that should identify the cause of any deviation. All inspections start with compliance against a standard. Commanders tailor inspections to their needs."

AR 1-201, Glossary; The Inspections Guide, Section 2-2, page 2-2-1

A standard is the way things should be.

Searching for Standards

Use the Internet

Inspections

- **Army Publishing Directorate (APD)**

http://www.apd.army.mil/

- **Army G-1 (Pentagon)**

http://www.armyg1.army.mil/

- **Department of Defense Directives**

http://www.dtic.mil/whs/directives/

- **National Guard Bureau**

http://www.ngbpdc.ngb.army.mil/

- **Know the proponent for each regulation to fix responsibility, and check the applicability of the regulation.**

Does the regulation apply to everyone in the Army?

Army Inspection Policy

Army Regulation 1-201

- **Identifies responsibilities**
- **Requires Commanders to designate an OIP Coordinator**
- **Defines inspection terms and concepts**
- **Outlines the Army's inspection principles**
- **Establishes the Organizational Inspection Program (OIP) -- the most important aspect of AR 1-201**

Principles of Army Inspections

Five Principles (AR 1-201, paragraph 2-2)

1. **Purposeful**
2. **Coordinated**
3. **Focused on Feedback**
4. **Instructive (Teach and Train)**
5. **Followed up**

Principles of Army Inspections
(continued)

1. Purposeful

- **The commander approves the specific purpose of the inspection.**
  - **Related to mission accomplishment.**
  - **Be tailored to meet the commander's needs while remaining relevant and responsive.**
  - **Be performance oriented and start with an evaluation against a standard.**

Principles of Army Inspections
(continued)

2. Coordinated

- **To ensure the proper coordination of inspections, an annual review of all scheduled inspections should occur that answers the following three questions:**
  - ***Can this inspection be canceled or combined with another inspection?***
  - ***Does this inspection duplicate or complement another inspection?***
  - ***Do inspection reports from other agencies or echelons of command exist that can assist in the conduct of an inspection?***

Principles of Army Inspections
(continued)

3. Focused on Feedback - Written or Verbal

- **Inspections are critical because they provide the commander / TAG with accurate and timely feedback.**

- **Inspection results include:**

  - **The identification of root causes.**

  - **The identification of strengths and weaknesses.**

  - **The implementation of corrective**

Principles of Army Inspections
(continued)

4. Instructive

- **Teaching and training is an essential element of all inspections and is the overarching purpose of Staff-Assistance Visits.**

- **No inspection is complete if the units or agencies inspected have not learned about goals and standards and how to achieve them.**

Principles of Army Inspections
(continued)

5. Followed up

- **Inspections expend valuable resources and are not complete unless a unit or agency develops and executes a follow - up inspection or plan to ensure the implementation of corrective actions.**

- **Follow - up actions can include:**

  - **Re-inspections**
  - **Telephone calls or visits to proponents to check on the progress of corrective actions**
  - **Requests for formal responses (Reply**

Principles of Army Inspections

Five Principles (AR 1-201, paragraph 2-2)

1. **Purposeful**
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Inspections

The Organizational Inspection Program (OIP)

Inspections

The Organizational Inspection Program (OIP)

What do inspections do for a Commander?

- **Inspections identify problems without regard to difficulty of resolution (Mitigating circumstances are not considered)**
- **Inspections contain a feedback mechanism so that someone can track problems for resolution**
- **Inspections direct problems to the proper level for action and attention**

A Commander can tailor Inspections to the organization's structure and mission!

AR 1-201, paragraph 3-2

Inspections

The Organizational Inspection Program (OIP)

The Commander's plan for inspections!

- **The OIP comprises <u>all</u> inspections within a unit**
- **OIP is a command responsibility and a commander's program**
- **OIP complements and reinforces other evaluations**
- **OIP minimizes the duplication of evaluations**
- **The IG is the proponent for inspection policy**
- **The G-3, S-3, Security and Plans Officer (SPO), or Deputy for Plans Training & Mobilization (DPTM) is <u>normally</u> responsible for coordinating the overall program (the OIP Coordinator)**

Inspections

Purpose of the OIP

To coordinate inspections and audits into a single, cohesive program focused on command objectives.

The OIP provides the commander with an organized management tool to identify, prevent, or eliminate problem areas.

Role of the IG in the OIP

ELO

- **Develop the IG Inspection Program as part of t**
- **Advise commanders and staffs on inspection p**
- **Advise the commander on the OIP's effectiven**
- **Conduct IG Inspections**

AR 20-1, paragraph 6-2

AR 1-201, paragraph 1-4

Role of the OIP Coordinator

- **Develop and maintain the written OIP for the unit or command**
- **Coordinate the execution of <u>all</u> inspection programs within the unit or command**
- **Maintain a calendar or schedule of planned inspections**
- **Serve as the executive agent for the Command Inspection Program (if required)**

Review

- **Define the term Inspection?**
- **What's a Standard?**
- **What is the purpose of the OIP?**
- **What is the IG's role in the OIP?**

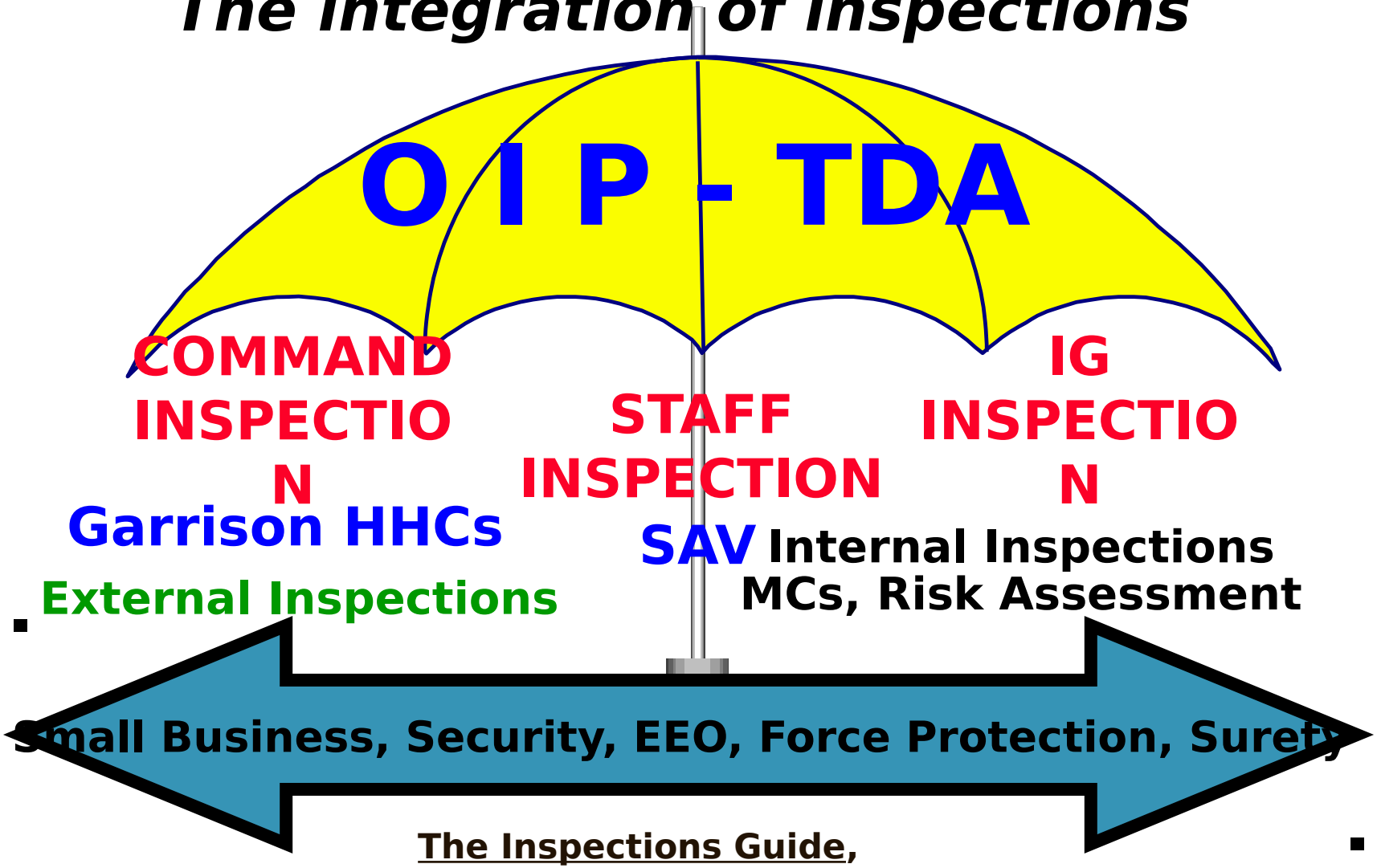
The Organizational Inspection Program (OIP)

The integration of inspections

AR 1-201, paragraphs 3-2 to 3-5
The Inspections Guide, Chapter 5

The Organizational Inspection Program (OIP)

The integration of inspections



The Inspections Guide, Chapter 7

Categories of Inspections

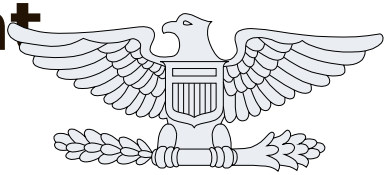
ELO

- **Command Inspection**
- **Staff Inspection**
- **Inspector General Inspection**

AR 1-201, Paragraphs 3-2 to 3-5

Command Inspections

- **A scheduled, formal event**
- **Led by the Commander**



➢ **Initial Command Inspection (ICI) (company or detachment)**

➢ **Subsequent Command Inspection (SCI)**

AR 1-201, Paragraphs 3-2 - 3-3

Inspections

Initial Command Inspection

ELO

- **Required for Company Commanders (or like commands: detachments, troops, batteries)**

- **Within 90 days for the Active Component**

- **Within 180 days for National Guard (NG) and U.S. Army Reserve (USA**

The inspecting commander must be present and participating in the inspection!

Initial Command Inspection
(continued)

ELO

- **Identifies unit strengths and weaknesses**
- **Cannot be used to evaluate the Company Commander**
- **Helps commanders establish goals, standards, and priorities**

- **Not used to compare units**
- **Only the inspected commander and that commander's rater will receive the specific results (IG can get generic results)**

Subsequent Command Inspection

ELO

- **Measures progress and reinforces goals and objectives established in the Initial Command Inspection.**

- **The commander determines the scope, format, timing, and frequency of the Subsequent Command Inspection.**

- **The commander may use the results of the Subsequent Command Inspection to evaluate the company commander.**

The inspecting commander must be present and participating in the inspection!

Staff Inspection

- **Led by a staff member of a functional area**
- **Focuses on a single functional area or a few related areas**
- **Conducted by the lowest-level staff member technically qualified in the functional area**
- **Should complement Command and IG Inspections**
- **Compliance oriented**

Inspections

Staff Assistance Visits

- **Directly support Staff and Command Inspection Programs**

- **Assist, teach, and train subordinate staff sections on how to meet the required standards of a particular functional area**

- **Can prepare staff sections for upcoming inspections or train them on new concepts, technologies, or operating techniques**

Inspector General Inspection

Inspections

- **Inspector General inspections should:**
  - **Pursue systemic issues**
  - **Identify sub-standard performance, determine the magnitude of the deficiency, and seek the reason for the deficiency (the root cause)**
  - **Teach systems processes and procedures**
  - **Identify responsibility for corrective actions**
  - **Spread innovative ideas**

Inspector General Inspection

Inspections

Who Can Direct an IG Inspection?

ELO

Secretary of the Army (SA)

Chief of staff Of the Army (CSA)

Inspection Directive

The Inspector General

Commander

Systemic and Local Problems

What is the difference?

Inspections

- **Systemic problems are usually widespread and present a pattern. You can often trace these problems back to a regulation, policy, or other standard that is confusing, overly ambitious, or in conflict with another standard. The proponent is usually the person to fix this type of problem.**

- **Local problems usually affect a small group of people or an individual and do not present a pattern. You can usually trace these problems back to a particular person's decision, demeanor, or statements. The level of organization that the problem affects is the best place to solve this problem.**

Systemic and Local Problems

What is the difference?

Inspections

Several soldiers in Company C, 3rd Battalion, 66th Infantry, failed to receive their Basic Allowance for Subsistence (BAS) in their End-of-Month (EOM) pay.

Is this problem a systemic or a local problem?

Systemic and Local Problems

What is the difference?

Inspections

A lieutenant recently conducted a Permanent Change of Station (PCS) from Germany to Fort Von Steuben. Sixty days have passed, and he has still not received his household goods.

Is this problem a systemic or a local problem?

Systemic and Local Problems

What is the difference?

Inspections

Fifty percent of the OH-58D (Kiowa Warrior) Helicopters within the 66th Infantry Division are experiencing cracks within their engine exhaust cowling. We contacted the 82nd Airborne Division's aviation officer, and he informed us that they are experiencing the same problem with their OH-58Ds.

Is this problem a systemic or a local problem?

Why do units and people fail to comply with standards?

- **That is the way we did it in my old unit.**
- **I have no idea what you are talking about. I have only been the S-1 for two days.**
- **Take a number. We have three Combat Training Center rotations, a Bosnia rotation, and the brigade formal in front of you.**
- **I can't get any good help these days. I am on my butt because all of my staff officers are young lieutenants.**
- **I do not understand. I thought I understood. I did it right the last time but …**

What are some other reasons you may have already heard?

The Root Cause Analysis Model

NON-COMPLIANCE

DON'T KNOW	CAN'T COMPLY	WON'T COMPLY
NEVER KNEW FORGOT TASK IMPLIED	FEW RESOURCES DON'T KNOW HOW IMPOSSIBLE	NO REWARD NO PENALTY DISAGREE

The Inspections Guide, Section 3-3, pages 3-3-1 to 3-3-4

Don't Know
Why not?

- Never knew – The problem may be systemic in terms of getting guidance down to the user level.
- Forgot – The problem is usually a local or personal issue.
- Task implied – The problem could result from a lack of experience or specific guidance.

Look for written SOPs, regulations, policies, and so on.

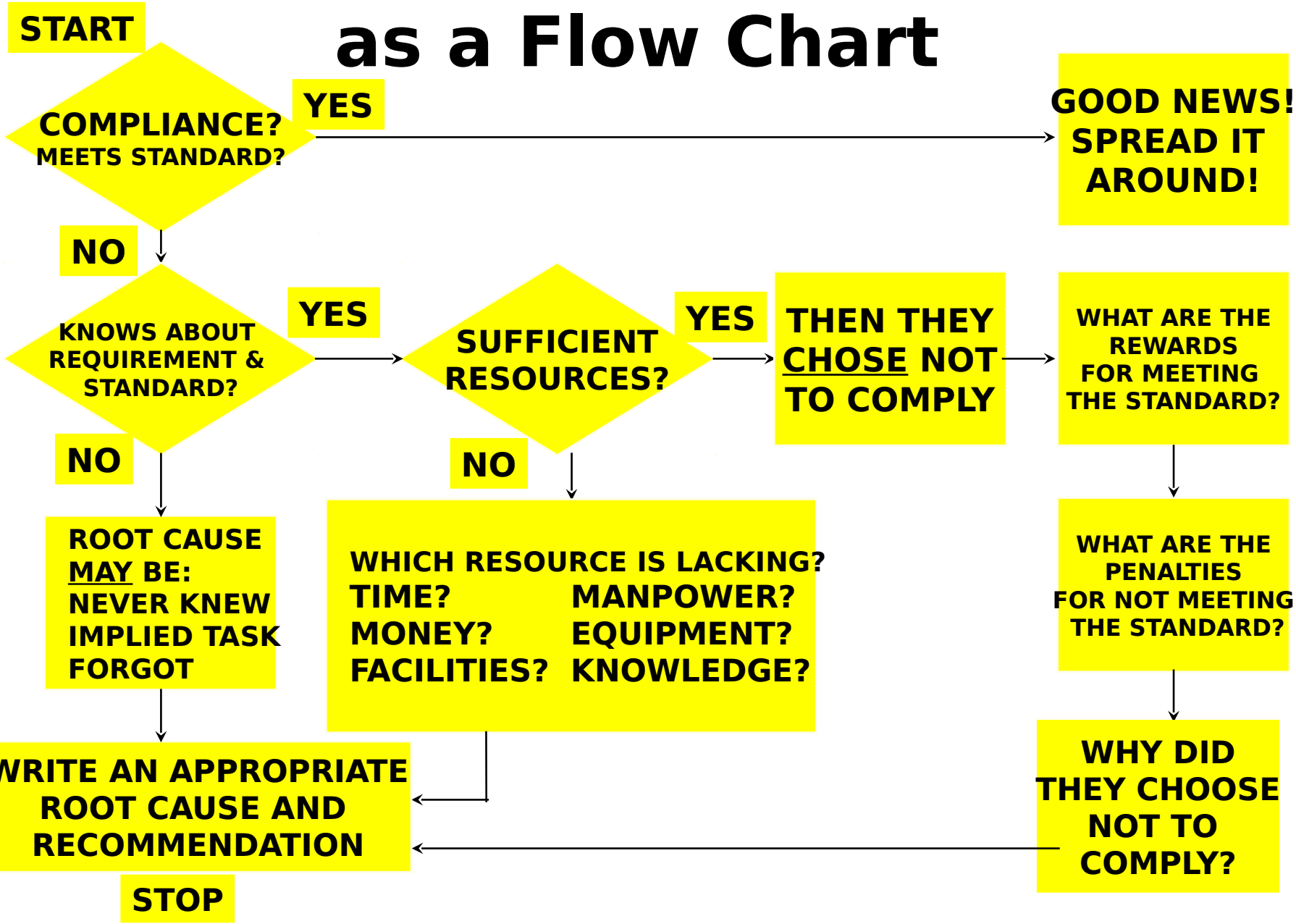
Can't Comply
Why not?

- Scarce resources / low priority – Always look at the big picture.
- Don't know how – Possibly a lack of training.
- Impossible – The unit or individuals may not even be able to accomplish the task.

Won't Comply
Why not?

- No reward – Check for incentives.
- No penalty – Nobody cares.
- Disagree – The unit or individual may be seeking an exception to policy or a change to the rules.

Root Cause Analysis as a Flow Chart



Inspections

Root Cause

Case Study 1

- **Thirty percent of an infantry battalion's vehicle fleet is suffering from Class II oil leaks.**
- **The vehicle drivers said that they just tighten the bolts, wipe off the spot, and keep an eye on the leak.**

Inspections

Root Cause

Case Study 1

- **Thirty percent of an infantry battalion's vehicle fleet is suffering from Class II oil leaks.**
- **The vehicle drivers said that they just tighten the bolts, wipe off the spot, and keep an eye on the leak.**

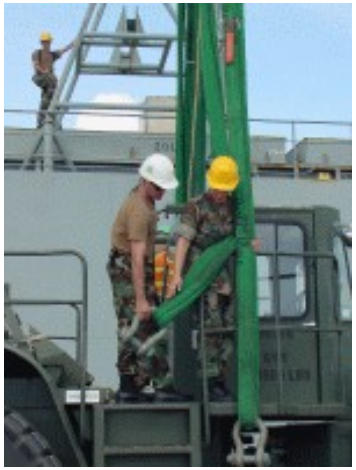
- **What is the standard?**
  - **Tighten, wipe, and observe!**
- **We have a good news story!**
- **Is a root cause applicable?**

Inspections

Root Cause

Case Study 2

- **Drivers are not conducting Preventive Maintenance Checks and Services (PMCS) to standard on their respective vehicles.**
- **Noncommissioned Officers (NCOs) are not in the motor pool to supervise the drivers during Command Maintenance due to other requirements.**



Root Cause

Case Study 2

- **Drivers are not conducting a PMCS to standard on their respective vehicles.**
- **NCOs are not in the motor pool to supervise the drivers during Command Maintenance due to other requirements.**

- **What is the standard?**

  → **Perform a proper PMCS on the vehicles.**

- **NCOs: Can't comply because of competing requirements.**
- **Drivers: Can't comply due to a lack of experience and knowledge.**

Inspections

Root Cause

Case Study 3

- **An armor battalion's Nuclear, Biological, and Chemical (NBC) equipment is not calibrated.**

- **The unit understands the calibration requirement, but the Main Support Battalion (MSB) will not accept the job orders.**

- **The MSB does not have the required personnel and equipment to conduct calibration and does not want to suffer the down time.**

Root Cause

Case Study 3

- **An armor battalion's NBC equipment is not calibrated.**

- **The unit understands the calibration requirement, but the Main Support Battalion (MSB) will not accept the job orders.**

- **The MSB does not have the required personnel and equipment to conduct calibration and does not want to suffer the down time.**

- **What is the standard?**
  - **Annual calibration of all NBC equipment**

- **Unit: Can't comply because the MSB won't accept the job orders (symptom of the MSB's root causes).**

- **MSB: Can't and won't comply due to lack of resources and the down-time penalty involved (a symptom as well).**

Review

- **What are the three inspection categories?**
- **When are Initial Command Inspection – Active, NG, USAR -- required?**
- **Please explain the reason for non-compliance utilizing the Root Cause Analysis Model.**

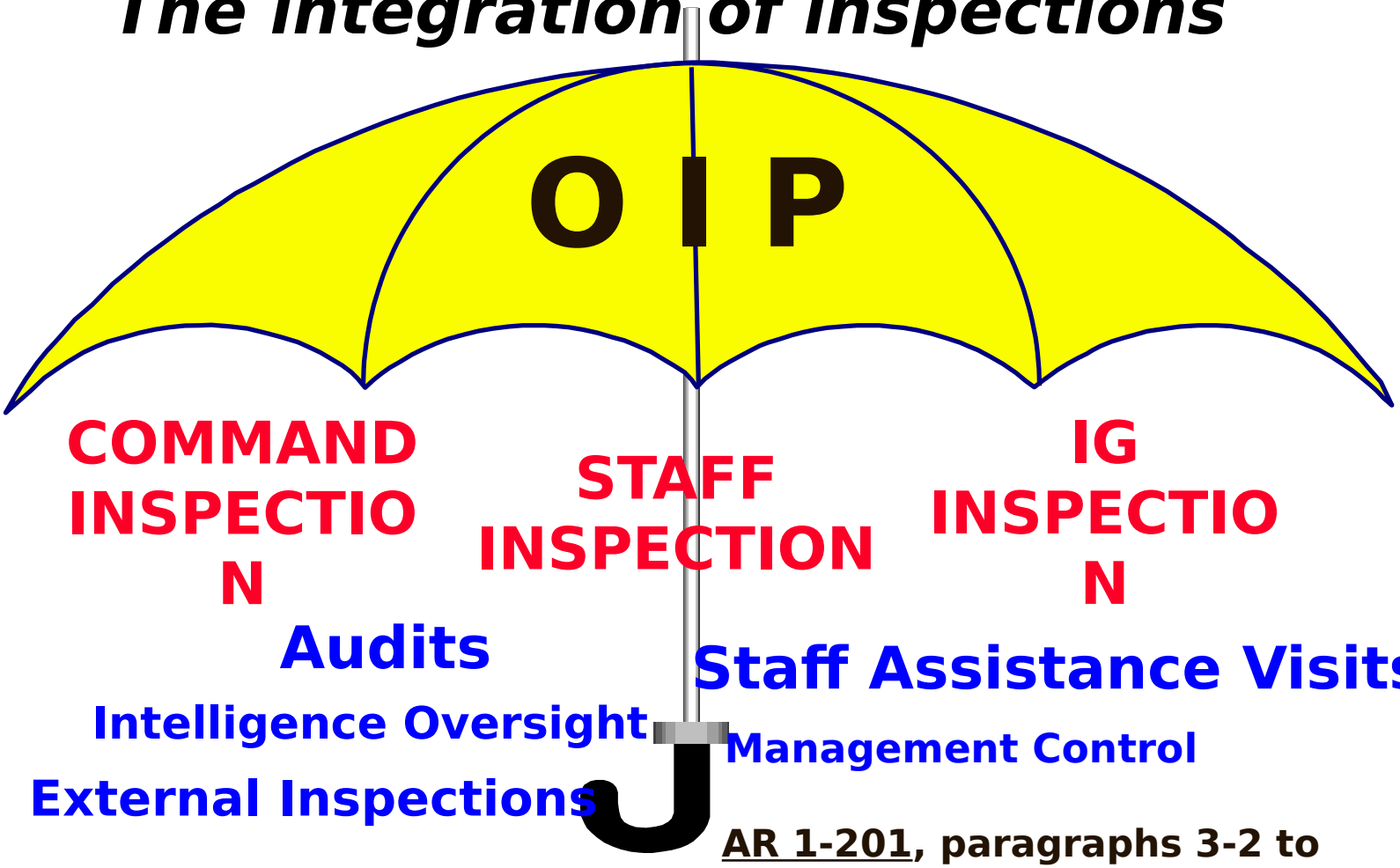
Inspections

The Organizational Inspection Program (OIP)

- **The commander's / The Adjutant General's program for managing, integrating, and coordinating all inspections, staff inspections visits, and audits within the command or state / territory National Guard**
- **Three major purposes:**
  - **Reduce disruption of training and important activities**
  - **Reinforce established inspections standards**
  - **Teach and Train those found to be deficient**

The Organizational Inspection Program (OIP)

The integration of inspections



AR 1-201, paragraphs 3-2 to 3-5

The Inspections Guide, Chapter 5

Types of Inspections

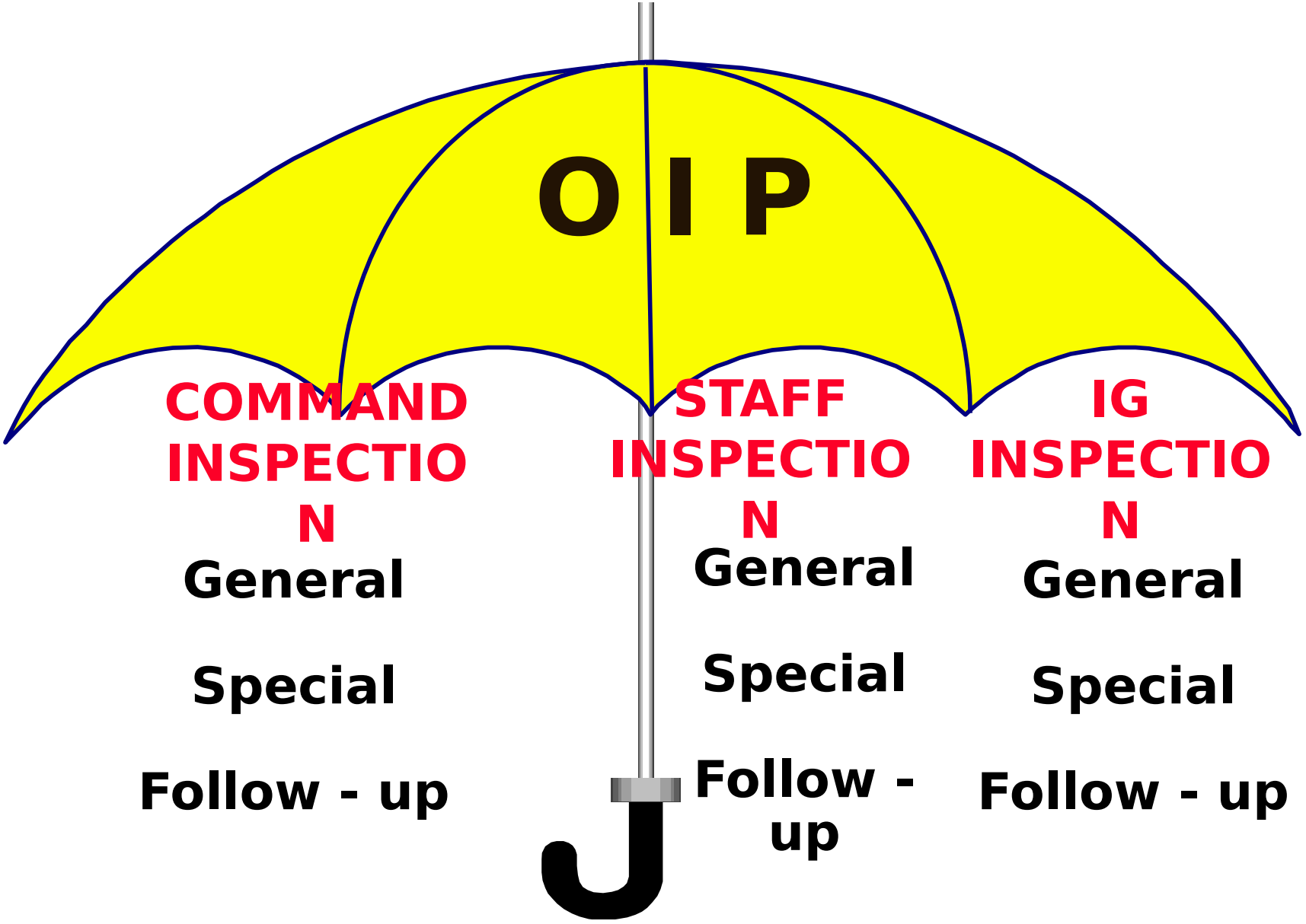
Inspections

- **<u>General Inspection.</u> These inspections are broad in scope, oriented on units, and designed to look at all aspects of the organization. (Used to be called compliance inspections)**

- **<u>Special Inspection.</u> These inspections are focused on specific functions, programs, procedures, problems, or issues; these inspections also look at groups of related problems or procedures. The special inspection facilitates the systemic approach to an inspection and is the preferred type of IG Inspection.**

- **<u>Follow - up Inspection.</u> These inspections review the effectiveness of corrective actions taken as a result of a previous inspection.**

<u>The Inspections Guide</u>, Section 2-2, pages 2-2-2 to 2-2-3



All three inspection categories can contain the three types of inspection

OIP: Battalion

ELO

- **The battalion is the basic building block of the OIP**
- **The Battalion OIP normally includes Command Inspections (Initial and Subsequent) and Staff Inspections**
- **The Battalion OIP focuses on areas that immediately impact on readiness and that reinforce goals and standards**
- **Teaching and training is a goal of company-level Command Inspections**

AR 1-201, Paragraph 3.2. c

OIP: Brigade

- **The Brigade OIP normally includes Command Inspections, Staff Inspections, and Staff Assistance Visits**
- **The Brigade OIP focuses on units and functional areas**
- **The Brigade OIP should include inspections of the brigade headquarters company**
- **The Brigade OIP must <u>complement</u> the battalion commanders' programs and avoid redundancy**

OIP: Division

Inspections

- **The Division OIP consists primarily of Staff and IG Inspections**
- **Command Inspections at the division level often focus on the separate companies**
- **The Division OIP should focus on the division's ability to execute plans and policy**
- **Separate Brigades with a General Officer as Commander**

OIP: Division
(continued)

- **At a minimum, the Division OIP should:**
  - ➢ **Establish a plan to check on the effectiveness of subordinate OIPs (an IG role)**
  - ➢ **Protect subordinate commanders from constant inspections**
  - ➢ **Complement brigade and battalion**

Inspections

Developing an OIP

- **Your unit or command's OIP will normally exist in the form of a local regulation or memorandum.**
- **The OIP document should list responsibilities for staff members and subordinate commanders and designate an overall OIP Coordinator.**

The Inspections Guide, Chapter 5

Developing an OIP
(continued)

- **The OIP document should articulate the commander's overall inspection guidance.**
- **The OIP document should address the relevant categories of inspections (Command, Staff, and IG) – as they pertain to the command – by frequency, focus, and so on.**

Developing an OIP
(continued)

- **The OIP document should address Intelligence Oversight within the unit or command (division and above only).**
- **The OIP document must capture all inspections that affect the command and then prioritize them – or eliminate some of them!**
- **The OIP document should establish the scope and standards for the different types of inspections.**

Developing an OIP
(continued)

- **Use IG technical channels to share inspection standards and checklists.**
- **The OIP document should address the Army's Management Control Evaluation Process. (AR 20-1, paragraph 1-4, b (7) a, b – and Appendix B; AR 11-2)**
- **The Army Staff owes the Army a standing set of inspection requirements by functional area!**

Inspections

The IG Inspection Selection Process

The Inspections Guide, Section 3-4

The IG Inspection Selection Process

- **The IG must know the Commander**
- **The IG must attend relevant staff meetings and listen in on key topics of discussion**
- **The IG must keep up with all of his or her commander's current policies and philosophies**
- **The IG must be a visible and participating member of the command**

Inspections

The IG Inspection Selection Process

How do you build an Inspection Priority List?

- **The IG must be aware of the commander's guidance and trends within the command.**

  - **Review the Annual Training Guidance**
  - **Review Local Command Policy and Goals**
  - **Know the Command Vision**
  - **Review the IG Database for trends**
  - **Review DAIG inspection priorities**
  - **Study pertinent issues in Unit Status Reports or Strategic Readiness System (SRS)**
  - **Review the next higher headquarters' inspection priorities**

Inspections

The IG Inspection Selection Process

Analyze your information for its . . .

- **Impact on Unit Readin**
- **Value to the Commanc**
- **Priority to the Comma**

Inspections

The IG Inspection Selection Process

Develop a prioritized list

- **List the inspection topics by priority**
- **Develop at least four key inspection topics for the fiscal year (one topic per quarter)**
- **Explain to the commander how and why these inspections will contribute to unit readiness**

For example,

1. **OIP (1st Quarter)**
2. **Risk Management (2nd Quarter)**
3. **Force Protection (3rd Quarter)**
4. **PERSTEMPO Reporting (4th Quarter)**

The Inspection Selection Process

Generate a list for your Commander's approval.

DETERMINE COMMANDER'S PRIORITIES

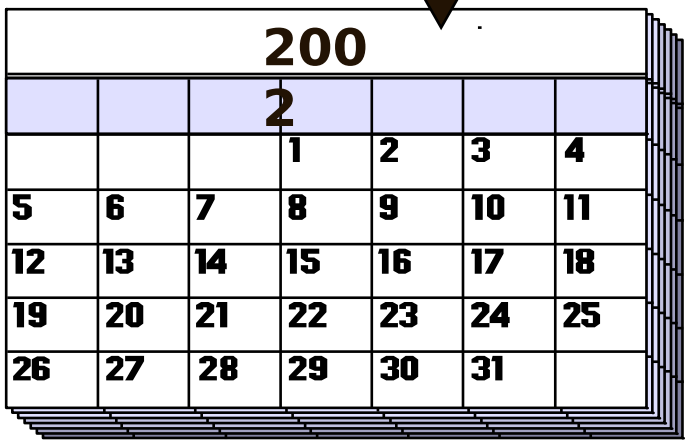
CONSIDER THE COMMANDER'S GUIDANCE AND CURRENT TRENDS

ANALYZE THE INFORMATION

DEVELOP THE LIST

1. OIP
2. Risk Management
3. Force Protection
4. PERSTEMPO Reporting

COMMANDER APPROVES LIST



INSPECTION LIST PUBLISHED

The Inspection Selection Process

The Inspections Guide, Section 3-4

Inspections Review

Inspections

- **Define the term inspection?**
- **What is a standard?**
- **What is the purpose of the OIP?**
- **What is the IG's role in the OIP?**
- **What are the three inspection categories?**
- **How often are Initial Command Inspections required?**

Inspections Review

Inspections

- **What are the three reasons for non-compliance?**
- **What size unit serves as the basic building block of the OIP?**